



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Attorney Docket No.: 3193.01US03

Unger

Confirmation No.: 2748

Application No.: 10/652,814

Examiner: Unknown

Filed: August 29, 2003

Group Art Unit: 1636

For: NANOCAPSULE ENCAPSULATION SYSTEM AND METHOD

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. § 1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached Form PTO-1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This information is being filed before the mailing date of a first Office Action on the merits. No certification or fee is required.

Copies of the references were cited by or submitted to the Office in Patent Application No. 09/796,575, filed February 28, 2001, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these references are not attached. 37 C.F.R. § 1.98(d).

Respectfully submitted,

Curtis B. Herbert, Ph.D., Esq.  
Registration No. 45,443

Application No. 10/652,814

Customer No. 24113  
Patterson, Thunte, Skaar & Christensen, P.A.  
4800 IDS Center  
80 South 8th Street  
Minneapolis, Minnesota 55402-2100  
Telephone: (612) 349-3008

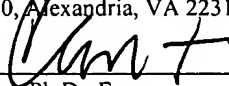
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use as many sheets as necessary)

Complete if Known

Application Number	10/652,814
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First Named Inventor	Unger
Art Unit	1636
Examiner Name	Unknown
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Sheet 1 of 8

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number-Kind Code <sup>2</sup> (if known)		
		US-4,107,288	08-15-1978	Oppenheim et al.
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		US-5,648,095	07-15-1997	Illum et al.

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EXAMINER INITIAL*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			
		EP0860167	08-26-1998	Gurny	
		WO00/47130	08-17-2000	Devore	
		WO88/08011	10-20-1988	Bindschaedler et al.	
		WO97/03702	02-06-1997	Mathiowitz et al.	

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		WO98/43664	10-08-1998	Kim et al.		
		WO99/00113	01-07-1999	Desai et al.		
		WO99/33558	07-08-1999	Quintanar-Guerrero et al.		
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		US-6,197,346	03-06-2001	Mathiowitz et al.
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		US-6,632,671	10-14-2003	Unger
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EXAMINER SIGNATURE		DATE CONSIDERED			
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.</p> <p>This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.</p> <p style="text-align: center;"><i>If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.</i></p>					

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	10/652,814
				Filing Date	August 29, 2003
				First Named Inventor	Unger
				Art Unit	1636
				Examiner Name	Unknown
Sheet	8	of	8	Attorney Docket Number	3193.01US03
<b>NON PATENT LITERATURE DOCUMENTS</b>					
EXAMINER INITIAL*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
		TAKEUCHI ET AL., Mucoadhesive Nanoparticle Systems for Peptide Drug Delivery, Advanced Drug Delivery Reviews (2001), pp. 39-54.			
		VILE, ET AL., Millenium Review: Cancer Gene Therapy: Hard Lessons and New Courses, Gene Therapy, pp. 2-8.			
		YUAN ET AL., (1994): Microvascular Permeability and Interstitial Penetration of Sterically Stabilized (stealth) Liposomes in a Human Tumor Xenograft. Cancer Research (54) 3352-3356.			
		ZHANG ET AL., (1997): Comparison of Integrins in Human Skin, Pig Skin, and Perfused Skin: An In Vitro Skin Toxicology Model. Journal of Applied Toxicology 17(4): 247-253.			
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